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1/22/03

ATTORNEY DOCKET NO.

11321-P012USD4

PATENT  
SERIAL NO. 10/033,092

UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard E. Smalley et al.

Group Art Unit: 1754

Serial No.: 10/033,092

Filed: December 28, 2001

Title: METHOD FOR FORMING A PATERNED  
ARRAY OF SINGLE-WALL CARBON  
NANOTUBES

CERTIFICATE OF MAILING

I hereby certify that this Supplemental Information Disclosure Statement with SB/08 A-B (Form 1449) and 2 references being deposited with the U.S. Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231, on January 6, 2003.

*Gracie Solis*  
GRACIE SOLIS

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

This Supplemental Information Disclosure Statement is being submitted in connection with the above-identified application for patent. Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Supplemental Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Supplemental Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

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A copy of each of the items identified on the attached Form PTO-1449 is supplied herewith, except for the pending patent applications, for which no copies are being submitted.

Applicants believe that the mailing of a first Office Action on the merits has not occurred in this Application. Furthermore, each item of information contained in this Supplemental to Resubmitted Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Supplemental to Resubmitted Information Disclosure Statement. Accordingly, Applicants believe that no fee is due at this time. 37 C.F.R. § 1.97(b) and (e)(1). However, the Assistant Commissioner is hereby authorized to charge any fees to the Deposit Account No. 23-2426 (11321-P012USD4).

Respectfully submitted,

By:   
\_\_\_\_\_  
Ross Spencer Garsson

Reg. No. 38,150

WINSTEAD SECHREST & MINICK P.C.  
P.O. Box 50784  
1201 Main Street  
Dallas, Texas 75250-0784  
Telephone: (512)370-2870  
Facsimile: (512)370-2850

ATTORNEYS FOR APPLICANTS

AUSTIN\_1\205452\1  
11321-P012USD5 01/06/2003



In Place of FORM PTO-1449 (Modified)

**STATEMENT**  
**OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE**

Serial No.: 10/033,092  
Applicants: Richard E. Smalley et al.  
Filing Date: December 28, 2001  
Group: 1754  
Atty. Docket No.: 11321-P012USD4

Reference Designation

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
AAA	5,698,175	12/16/1997	Hiura et al.	423	447.1	
ABA						
ACA						

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
ADA						

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner Initial

\_\_\_\_\_ AEA AJAYAN et al., "Opening carbon nanotubes with oxygen and implications for filing," *Nature*, Volume 362, pp. 522-525 (April 8, 1993).

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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